



Electronic Filing System (EFS) Data
Electronic Patent Application Submission
USPTO Use Only

EFS ID: 58640
Application ID: 09970078
Title of Invention: METHODS AND SYSTEMS FOR
MANAGING A PORTFOLIO OF
SECURITIES
First Named Inventor: John Bunda
Domestic/Foreign Application: Domestic Application
Filing Date: 2001-10-03
Effective Receipt Date: 2004-04-07
Submission Type: Information Disclosure
Statement
Filing Type:
Confirmation number: 8120
Attorney Docket Number: 5226-02200



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APR 13 2004
GROUP 3600

Total Fees Authorized:


Digital Certificate Holder: cn=Eric B. Meyertons,ou=Registered Attorneys,ou=Patent and Trademark
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TRANSMITTAL

Electronic Version v1.1

Stylesheet Version v1.1.0

Title of Invention	METHODS AND SYSTEMS FOR MANAGING A PORTFOLIO OF SECURITIES									
<div>Application Number: 09/970078 </div> <div>Date: 2001-10-03</div> <div>First Named Applicant: John Bunda</div> <div>Confirmation Number: 8120</div> <div>Attorney Docket Number: 5226-02200</div> <div>RECEIVED APR 18 2004 GROUP 3600</div>										
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<table border="1"><thead><tr><th>Submitted by:</th><th>Elec. Sign.</th><th>Sign. Capacity</th></tr></thead><tbody><tr><td>Eric B Meyertons Registered Number: 34876</td><td>Eric B Meyertons</td><td>Attorney</td></tr></tbody></table>			Submitted by:	Elec. Sign.	Sign. Capacity	Eric B Meyertons Registered Number: 34876	Eric B Meyertons	Attorney		
Submitted by:	Elec. Sign.	Sign. Capacity								
Eric B Meyertons Registered Number: 34876	Eric B Meyertons	Attorney								
<table><tr><td>Documents being submitted</td><td>Files</td></tr><tr><td>us-ids</td><td>5226-Feb2004-usidst.xml</td></tr><tr><td></td><td>us-ids.dtd</td></tr><tr><td></td><td>us-ids.xsl</td></tr></table>			Documents being submitted	Files	us-ids	5226-Feb2004-usidst.xml		us-ids.dtd		us-ids.xsl
Documents being submitted	Files									
us-ids	5226-Feb2004-usidst.xml									
	us-ids.dtd									
	us-ids.xsl									
Comments										



ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18

Stylesheet Version v18.0

Title of
Invention

METHODS AND SYSTEMS FOR MANAGING A
PORTFOLIO OF SECURITIES

Application Number: 09/970078



Confirmation Number: 8120

First Named Applicant: John Bunda

Attorney Docket Number: 5226-02200

Art Unit: 2163

Examiner: Unknown Unknown

Search string: (5809483 or 5946666 or 6401105 or 6408282
or 6510419 or 20020188548 or 20020178099 or
20020194111 or 20020194110 or 20030083974
or 20030041006).pn.

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US Patent Documents

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
	1	5809483	1998-09-15	Broka et al.			
	2	5946666	1999-08-31	Nevo et al.			
	3	6401105	2002-06-04	Carlin et al.			
	4	6408282	2002-06-18	Buist			
	5	6510419	2003-01-21	Gatto			

US Published Applications

Note: Applicant is not required to submit a paper copy of cited US Published Applications

init	Cite.No.	Pub. No.	Date	Applicant	Kind	Class	Subclass
	1	20020188548	2002-09-15	Bunda	A1		
	2	20020178099	2002-11-28	Young	A1		
	3	20020194111	2002-12-19	Young	A1		
	4	20020194110	2002-12-19	Young	A1		
	5	20030083974	2003-05-01	Bunda	A1		

	6	20030041006	2003-02-27	Bunda	A1
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Signature

Examiner Name	Date